



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/677,152	10/02/2000	Robert C. Gallo	4115-116 DIV 4	4147

23448 7590 11/27/2002

INTELLECTUAL PROPERTY / TECHNOLOGY LAW
PO BOX 14329
RESEARCH TRIANGLE PARK, NC 27709

EXAMINER

STUCKER, JEFFREY J

ART UNIT	PAPER NUMBER
1648	14

DATE MAILED: 11/27/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

Applicant(s)

Examiner

Group Art Unit

—The MAILING DATE of this communication appears on the cover sheet beneath the correspondence address—

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, such period shall, by default, expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).

Status

- ☐ Responsive to communication(s) filed on 10/28/02 & 11/22/02
- ☐ This action is **FINAL**.
- ☐ Since this application is in condition for allowance except for formal matters, **prosecution as to the merits is closed** in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11; 453 O.G. 213.

Disposition of Claims

- ☒ Claim(s) 40, 42-49, 68, 71-73 & 82-86 is/are pending in the application.
- Of the above claim(s) 45-49, 68, & 71-73 is/are withdrawn from consideration.
- ☐ Claim(s) _____ is/are allowed.
- ☒ Claim(s) 40, 42-49, & 82-86 is/are rejected.
- ☐ Claim(s) _____ is/are objected to.
- ☐ Claim(s) _____ are subject to restriction or election requirement.

Application Papers

- ☒ See the attached Notice of Draftsperson's Patent Drawing Review, PTO-948.
- ☐ The proposed drawing correction, filed on _____ is ☐ approved ☐ disapproved.
- ☐ The drawing(s) filed on _____ is/are objected to by the Examiner.
- ☐ The specification is objected to by the Examiner.
- ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. § 119 (a)-(d)

- ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).
- ☐ All ☐ Some* ☐ None of the CERTIFIED copies of the priority documents have been received.
- ☐ received in Application No. (Series Code/Serial Number) _____
- ☐ received in this national stage application from the International Bureau (PCT Rule 1.7.2(a)).

*Certified copies not received: _____

Attachment(s)

- ☒ Information Disclosure Statement(s), PTO-1449, Paper No(s) 2-5
- ☐ Notice of Reference(s) Cited, PTO-892
- ☒ Notice of Draftsperson's Patent Drawing Review, PTO-948
- ☐ Interview Summary, PTO-413
- ☐ Notice of Informal Patent Application, PTO-152
- ☐ Other _____

Office Action Summary

Part of Paper No. 14

Serial Number: 09/677152
Art Unit: 1648

2

This Office Action is in response to the amendments filed 10/28/02 and 11/22/02 and the election filed concurrently with the amendment filed 11/22/02 in response to a telephone conference on 11/20/02. The previous restriction is vacated because it was based on an unentered preliminary amendment which had canceled some claims. During the phone conference, the Examiner asked for new claims with clearer language and proposed a new restriction as set forth below as was discussed with Marianne Fuierer on 11/20/02.

Applicant's summary of the pending claims indicates that claim 83 has been canceled. However, no amendment to that effect has been found and the claim is still pending. Two of the new claims were numbered as 84. The second one was renumbered under Rule 126 to "86".

Restriction to one of the following inventions is required under 35 U.S.C. § 121:

I. Claims 40, 42-44, and 82-86, drawn to a therapeutic composition, classified in Class 514, subclass 1.

II. Claims 45-49, drawn to a method of producing a therapeutic composition, classified in Class 530, subclass 412.

III. Claims 68, 71-73, drawn to a method of treating HIV infection or reducing HIV replication, classified in Class 424, subclass 545.

Serial Number: 09/677152
Art Unit: 1648

3

The inventions are distinct, each from the other because of the following reasons:

The invention of Group I is a composition and Groups II and III are a method of producing and method of using the composition, respectively. These are distinct because each of the methods has different end results and different steps. The methods are distinct from the composition because the claimed method of making the product can be used to purify a large number of compounds from a mixture. The method of use can be used with materially different compositions such as specific peptides from hCG and the claimed composition can be used as an antigen.

Because these inventions are distinct for the reasons given above and have acquired separate status in the art because of their recognized divergent subject matter, restriction for examination purposes as indicated is proper.

The specific diseases (now narrowed to HIV by amendment) are considered to be different inventions and would be consonant with the restrictions required in the prosecution of related applications.

Applicant elected during the phone interview and again in the amendment filed 11/22/02 the composition of Group I. Therefore, claims 40, 42-44, and 82-86 are examined and the other claims are withdrawn from consideration.

Serial Number: 09/677152
Art Unit: 1648

4

MPEP 806.05 (h) A product and a process of using the product can be shown to be distinct inventions if either or both of the following can be shown: (A) the process of using as claimed can be practiced with another materially different product; or (B) the product as claimed can be used in a materially different process.

The burden is on the examiner to provide an example, but the example need not be documented. If the applicant either proves or provides a convincing argument that the alternative use suggested by the examiner cannot be accomplished, the burden is on the examiner to support a viable alternative use or withdraw the requirement.

Applicant is advised that a rejoinder of claims is possible at a later date if the product is eventually found patentable. Guidance on treatment of product and process claims in light of *In re Ochiai*, *In re Brouwer* and 35 U.S.C. §103(b) is set forth in the Commissioner's Notice of February 28, 1996 published on March 26, 1996 at 1184 O.G. 86.

To facilitate examination under § 103, where product and process claims are presented in the same application, applicant may be called upon under 35 U.S.C. § 121 to elect claims to either the product or process. The claims to the non-elected invention will be withdrawn from further consideration. However, in the case of an elected product claim, rejoinder will be permitted when a product claim is found allowable and the withdrawn process claim depends from or otherwise includes all the limitations of an allowed product claim. Withdrawn process claims not commensurate in scope with an allowed product claim will not be rejoined. In the event of rejoinder, the rejoined process claims will be fully examined for patentability in accordance with 37 CFR 1.104 - 1.106. If the application containing the rejoined claims is not in condition for allowance, the subsequent Office Action may be made final, or, if the application was already under final rejection, the next Office Action may be an advisory action.

Serial Number: 09/677152
Art Unit: 1648

5

Applicant's attention is hereby directed to the following recitation of M.P.E.P. §821.04 regarding the restriction of claims to a product and processes of using the product, Rejoinder:

Where product and process claims drawn to independent and distinct inventions are presented in the same application, applicant may be called upon under 35 U.S.C. 121 to elect claims to either the product or process. See MPEP § 806.05(f) and § 806.05(h). The claims to the nonelected invention will be withdrawn from further consideration under 37 CFR 1.142. See MPEP § 809.02^o and § 821 through § 821.03. However, if applicant elects claims directed to the product, and a product claim is subsequently found allowable, withdrawn process claims which depend from or otherwise include all the limitations of the allowable product claim will be rejoined.

Where product and process claims are presented in a single application and that application qualifies under the transitional restriction practice pursuant to 37 CFR 1.129(b), applicant may either (1) elect the invention to be searched and examined and pay the fee set forth in 37 CFR 1.17(s) and have the additional inventions searched and examined under 37 CFR 1.129(b)(2), or (2) elect the invention to be searched and examined and not pay the additional fee (37 CFR 1.129 (b)(3)). Where no additional fee is paid, if the elected invention is directed to the product and the claims directed to the product are subsequently found patentable, process claims which either depend from or include all the limitations of the allowable product will be rejoined. If applicant chooses to pay the fees to have the additional inventions searched and examined pursuant to 37 CFR 1.129(b)(2), even if the product is found allowable, applicant would not be entitled to a refund of the fees paid under 37 CFR 1.129(b) by arguing that the process claims could have been rejoined. 37 CFR 1.26 states that "[m]oney paid by actual mistake or in excess will be refunded, but a mere change of purpose after the payment of money...will not entitle a party to demand such a return..." The fees paid under 37 CFR 1.129(b) were not paid by actual mistake nor paid in excess, therefore, applicant would not be entitled to a refund.

In the event of rejoinder, the rejoined process claims will be fully examined for patentability in accordance with 37 CFR 1.104 - 1.106. Thus, to be allowable, the rejoined claims must meet all criteria for patentability including the requirements of 35 U.S.C. 101, 102, 103, and 112. If the application containing the rejoined claims is not in condition for allowance, the subsequent Office action may be made final, or, if the application was already under final rejection, the next Office action may be an advisory action.

The following is a recitation from paragraph five, "Guidance on Treatment of Product and Process Claims in light of *In re Ochiai*,

Serial Number: 09/677152
Art Unit: 1648

6

In re Brouwer and 35 U.S.C. §103(b)" (1184 TMOG 86(March 26, 1996)):

"However, in the case of an elected product claim, rejoinder will be permitted when a product claim is found allowable and the withdrawn process claim **depends from or otherwise includes all the limitations of** an allowed product claim. Withdrawn process claims not commensurate in scope with an allowed product claim will not be rejoined." (emphasis added)

In accordance with M.P.E.P. §821.04 and In re Ochiai, 71 F.3d 1565, 37 USPQ 1127 (Fed. Cir. 1995), rejoinder of product claims with process claims commensurate in scope with the allowed product claims will occur following a finding that the product claims are allowable. Until, such time, a restriction between product claims and process claims is deemed proper. Additionally, in order to retain the right to rejoinder in accordance with the above policy, Applicant is advised that the process claims should be amended during prosecution to maintain either dependency on the product claims or to otherwise include the limitations of the product claims. **Failure to do so may result in a loss of the right to rejoinder.**

Applicant is reminded that upon the cancellation of claims to a non-elected invention, the inventorship must be amended in compliance with 37 C.F.R. § 1.48(b) if one or more of the currently named inventors is no longer an inventor of at least one claim

Serial Number: 09/677152
Art Unit: 1648

7

remaining in the application. Any amendment of inventorship must be accompanied by a diligently-filed petition under 37 C.F.R. § 1.48(b) and by the fee required under 37 C.F.R. § 1.17(h).

INFORMATION ON HOW TO EFFECT DRAWING CHANGES

Correction of Informalities -- 37 CFR 1.85

New corrected drawings must be filed with the changes incorporated therein. Identifying indicia, if provided, should include the title of the invention, inventor's name, and application number, or docket number (if any) if an application number has not been assigned to the application. If this information is provided, it must be placed on the front of each sheet and centered within the top margin.

Corrections other than Informalities Noted by Draftsperson on form PTO-948.

All changes to the drawings, other than informalities noted by the Draftsperson, **MUST** be made in the same manner as above except that, normally, a highlighted (preferably red ink) sketch of the changes to be incorporated into the new drawings **MUST** be approved by the examiner before the application will be allowed. No changes will be permitted to be made, other than correction of informalities, unless the examiner has approved the proposed changes.

Serial Number: 09/677152
Art Unit: 1648

8

Timing of Corrections

Applicant is required to submit acceptable corrected drawings within the time period set in the Office action. See 37 CFR 1.85(a). Failure to take corrective action within the set period will result in **ABANDONMENT** of the application.

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 40, 42-44, and 82-86 are rejected under 35 U.S.C. § 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

It is not clear what is meant by the (β -)hCG not being purified to homogeneity. It is not even clear from the language if the composition contains or excludes (β -)hCG. For the purposes of examination, this will be read as if the at least one fraction in the composition excludes hCG and β -hCG.

It is not clear what is meant by "native" forms. Is this limited to only an origin of urine from pregnant women? Does this also include cultured cell lines that excrete hCG?

Serial Number: 09/677152
Art Unit: 1648

In claim 83, there is no antecedent basis for "the protein or peptide".

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 40, 42-44, and 82-86 are rejected under 35 U.S.C. 101 because the claimed invention is not supported by either a credible asserted utility or a well established utility.

It is well known in the art that retroviral infections in general, and HIV infections in particular, are refractory to anti-viral therapies to inhibit infection or limit replication. The obstacles to inhibiting infection by, or replication of, HIV are well documented in the literature. These obstacles include: 1) the extensive genomic diversity and mutation rate associated with the HIV retrovirus, particularly with respect to the gene encoding the envelope protein; 2) the fact that the modes of viral transmission include both virus-infected mononuclear cells, which pass the infecting virus to other cells in a covert manner, as well as via free virus transmission; 3) the existence of a latent form of the virus; 4) the ability of the virus to evade immune responses in the central nervous system due to the blood-brain

Serial Number: 09/677152
Art Unit: 1648

barrier; and 5) the complexity and variation of the pathology of HIV infection in different individuals. The existence of these obstacles establish that the contemporary knowledge in the art would not allow one skilled in the art to use the claimed invention with a reasonable expectation of success and without undue experimentation. Further, it is well known in the art that individuals infected with HIV produce neutralizing antibodies to the virus, yet these antibodies are not protective and do not prevent the infection from progressing to its lethal conclusion. The ability to prevent HIV infection is highly unpredictable and has met with very little success. Applicants have not provided any convincing examples or evidence that their compositions is indeed useful for preventing an HIV infection or inhibiting viral replication. In the absence of such examples or evidence, the claimed invention lacks credible utility.

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claims 40, 42-44, and 82-86 are rejected under 35 U.S.C. 112, first paragraph. Specifically, since the claimed invention is not

Serial Number: 09/677152
Art Unit: 1648

supported by either a credible asserted utility or a well established utility for the reasons set forth above, one skilled in the art clearly would not know how to use the claimed invention.

Claims 40, 42-44, and 82-86 are rejected under 35 U.S.C. §112, first paragraph, as containing subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention.

The language of the claims is not strictly limited to *in vitro* treatments and encompasses treating infected patients and as such does not have support in the specification. There is insufficient disclosure to reasonably predict that the methods and compositions of the instant specification would inhibit HIV infection or replication *in vivo*. This is merely an unsubstantiated assertion with no evidence to support the contention that the *in vitro* studies of the specification are indicative of *in vivo* activity. Applicant has only shown cell culture data, not treating infected patients or shown an art recognized correlation between the data shown and the scope of the claimed invention. The artisan would recognize and appreciate that there is no known correlation between *in vitro* and *in vivo* results, because the artisan recognizes that an *in vitro* assay cannot duplicate the complex conditions of *in*

Serial Number: 09/677152
Art Unit: 1648

vivo therapy. In the *in vitro* assay, the agent is in contact with cells during the entire exposure period. This is not the case in vivo where exposure to the target site may be delayed or inadequate. The cells of a living body do not continuously grow and divide at the rate seen in a cell culture system. Further, the model does not include the complex interaction of numerous cell types and chemical signals as would be found in the dynamic living body. In addition, variables such as biological stability, half-life, or clearance from the blood as well as the obstacles set forth in the §101 rejection, above, are important parameters in achieving successful therapy. The composition may be inactivated *in vivo* before producing a sufficient effect, for example, by proteolytic degradation or immunological activation. In addition, the composition may not reach the target cells because of its inability to penetrate tissues or cells where its activity is to be exerted, may be absorbed by fluids, cells, and tissues where the composition has no effect and/or a large enough local concentration may not be established. There are convincing examples or evidence that the claimed composition can inhibit HIV infection or no specific teachings in the disclosure that would allow one to have a reasonable expectation of success in transferring the *in vitro* method to treat infected patients. One is only left with specula-

Serial Number: 09/677152
Art Unit: 1648

tion and an invitation to experiment. Therefore, the claimed invention lacks an enabling disclosure.

Claims 40, 42-44, and 82-86 are rejected under 35 U.S.C. 112, first paragraph, because the specification, while being enabling for the composition extracted from urine, does not reasonably provide enablement for all "native" sources. The specification does not enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the invention commensurate in scope with these claims.

The specification is not enabled for all "native" sources of the claimed composition because there is no description of the component itself beyond the molecular weight. There is no description of how is one to know what type of "native" forms contain the efficacious fractions. The only source disclosed as containing the active fractions is urine from pregnant females. It is not apparent that the instant composition can be found in other sources, e.g., cultured cell lines that excrete hCG.

The instant invention is free of the prior art of record.

No claims are allowed.

Serial Number: 09/677152
Art Unit: 1648

Papers related this application may be submitted to Group 1600 by facsimile transmission. Papers should be faxed to Group 1600 via the PTO Fax Center located in Crystal Mall 1. The faxing of such papers must conform with the notice published in the Official Gazette, 1096 OG (November 15, 1989).

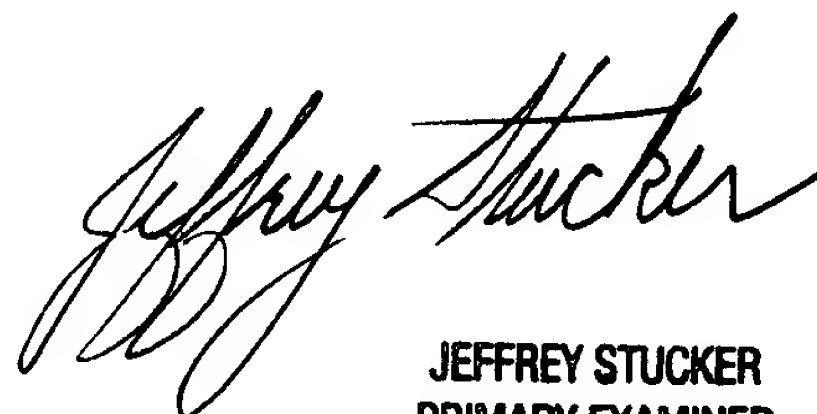
The Group 1600 Fax numbers are: (703) 308-4242 and (703) 305-3014.

Unofficial communications may be faxed to: (703) 308-4426.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jeffrey Stucker whose telephone number is (703) 308-4237. The examiner can normally be reached Monday to Thursday from 7:00am to 5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Housel, can be reached on (703) 308-4027.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Group receptionist whose telephone number is (703) 308-0196.



JEFFREY STUCKER
PRIMARY EXAMINER